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ABSTRACT

The Office of University Library Managmenet Studies has completed its second year of activity, pursuing its commitment to improving research library management. While the first year of operation focused on the Columbia Study, the second year emphasized the development of a new management tool--the Management Review and Analysis Program. This program provided participating libraries with guidelines for use in performing an internal study and evaluation of management policies, activities, and results. The office is currently interested in the top management problems rather than detailed operational specifics and intends to provide a wide-range of alternative management approaches rather than a single best way. In the future, the office will move toward the issues of collective management and the problems of management development. Another shift in emphasis will be to integrate the costs and activities of the office into the regular activities of the Association of Research Libraries. (An appendix lists various activities of the office in detail. (CH)

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ASSOCIATION OF RESEARCH LIBRARIES

OFFICE OF UNIVERSITY LIBRARY MANAGEMENT STUDIES
Duane E. Webster, Director

Second Annual Report of the

Office of University Library Management Studies

to the

Association of Research Libraries

1972

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
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I. Introduction

Improving management methods and skills is an increasing concern of the academic library. This need for management improvement is brought about by the pressures for change at work in higher education. The Office of Management Studies sees its role in this environment as a stimulator and as a synthesizer: stimulator of interest in developing methods for improving library management and synthesizer of new or improved approaches to the management of research libraries.

This office is committed to the investigation of the management problems of academic libraries and the search for solutions to these concerns. The office has completed its second year of activity, pursuing this commitment to improving research library management. While the first year of operation focused on the Columbia Study, the second year emphasized the development of a new management tool - The Management Review and Analysis Program.

This program provides a research library with guidelines for use in performing an internal study and evaluation of management policies, activities and results. The systematic investigation of the functions of library management attempts to pinpoint the causes of operational problems and to guide the library in making changes that improve library services and resources. The study focuses on the top management responsibilities and decision-making processes of the library. Major principles of management are listed in areas such as planning, policy development, organization and personnel. These principles, derived from experience and standard practice, suggest sound approaches for the management of research libraries. In addition, the success of a library's present approach to these several principles can be assessed in the light of the performance criteria presented. Libraries participating in the program receive a two volume study manual which outlines the procedures, tasks, and products of the study. Furthermore, the office provides these libraries with a series of six training sessions in order to assist in interpreting the manual and solving local difficulties.

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The office activities in 1972 also encompassed a variety of efforts in research development, dissemination of information, management development, and consultation. The major accomplishments in each of these areas are described in the appendix to this report.

II. Background of Office Program

The management effort of the Association began with the idea of addressing the research library's need for increased management expertise and providing assistance to individual libraries engaged in improving their own management methods. It is apparent that this effort has been successful. Appropriate methods have been developed or adapted and their usefulness has been demonstrated. Libraries in turn have responded enthusiastically to the opportunity which this program presents.

As the Office of Management Studies continues to develop its programs it will focus on matters which are of special concern to large academic libraries and will attempt to avoid duplicating work performed by other agencies. The office, furthermore, assumes the perspective of the library director in addressing the management concerns of libraries. By looking at the top management problems rather than detailed operational specifics, it is hoped that the office can produce more generalized results that can be used by a variety of institutions, while at the same time, advancing the state of research library management. For example, rather than designing an improved management system for an individual library's circulation department, the office has developed a means of evaluating the way circulation and other departments are operated in any library, and in this fashion, determining means of improving the departments' policy making, staff development and supervisory processes.

The office does not advocate a particular management style or suggest that there is a single best way to administer a library. Instead, it is interested in making available a wide-range of alternative management approaches that may be employed according to individual needs. The selective involvement of the office in three projects - The Columbia Study, The Cornell Planning Effort and the MRAP exemplifies this. Each of these efforts is designed to promote improved library management approaches on the particular issue of planning. While a style of management may not be recommended in toto, these projects indicate that there are some generally valid approaches to the concerns of research library management.

III. The Next Three Years and Beyond

During the next year the office will concentrate on two major efforts: first, the test, revision and operation of the Management

Review and Analysis Program, which is described in the appendix to this report; second the proposed project to develop a system for formulating and using policy as a management tool in a research library. The expected product of this effort might be described as a Policy Manual or Administrative Manual that would present a system of policies in the areas of instruction, research, collections, access to services and materials, staff resources, library organization, and overall management. Model statements will be designed and questions for local interpretation raised in the context of such a manual. Progress on this project has been made with the preparation of an Occassional Paper, which will be issued shortly. The Columbia University Libraries new planning office is also making progress in this area.

Future activities of the office will continue to draw on the experience of The Columbia Study, The Management Review and Analysis Program, and related projects in order to make the findings available to other libraries. This calls for a project orientation for the office; i.e., the conduct of studies that will lead to the development of management tools. Project orientation in time will shift to a service orientation based on the products of the office. For example, this will involve the operation of such a program as the Management Review and Analysis Program and the conduct of workshops explaining the use of management tools prepared by the office.

This shift in emphasis over the next three years will coincide with a move toward integrating the costs and activities of the office into the regular activities of the Association. Steps have been taken toward this goal by securing ARL board approval to finance a part of the operating expense of the office over the next three years.

Another anticipated shift in office activity will be a move toward promoting the use of management tools and procedures rather than concentrating on research and development. The need for research, including experimentation, is a significant part of the office future, but in view of the limited capacity of the office, it is doubtful that research can be given major emphasis. The opportunity for accomplishing the research goals of the Office of Management Studies would seem to depend rather on the identification of problems and assistance in formulating, funding, and monitoring the necessary studies.

Furthermore, the office expects in the next three years to move toward the issues of collective management. As previously noted, present emphasis has been and is currently on improving the management of individual libraries. With progress being made here, it is reasonable to expect that the attention of the office will turn to strengthening the collective management capacity of research libraries. In the long run, this will be where the most dramatic progress can be made.

A final shift in emphasis is the need to move more aggressively into the problem of management development. There is a growing need to improve the preparation and training of librarians for top administrative positions in large academic libraries. Although, the MRAP as well as other office activities presently encompass the objectives in this area, this concern will probably increase in importance in the future.

IV. Problems and Questions of Interest

Warren J. Haas, Chairman of the ARL Commission on Management, the chief advisory agency for the office, has noted that in the past, the success of research library management has been based on the intuition and instinct of a series of distinguished librarians. This "instinct for good management" is what the office seeks to develop. In the face of increasing size, complexity, and change, better means of developing this expertise are needed. Some of the questions that the office is seeking to resolve are:

1. Who has the responsibility for developing the necessary library managers? Individual libraries? Library Schools? Professional association? How should these responsibilities be shared?

2. What are the components of effective management development?

3. How can the role of the library within the university be strengthened and enhanced?

4. In what ways can the influence of the library in the university decision-making process be improved?

5. What can be done to improve the exchange of information among libraries on improved management practices and current development?

6. How can the products and accomplishments of the Management Studies Office be extended to other academic libraries (non-ARL, collegiate, etc.)?

7. What type of evaluation of the results of the Columbia Study is needed? When?

8. Can an "instructional module" be constructed to meet the needs of libraries in applying management concepts such as objectives?

9. What is the best way of extending the research capability of the office?

10. What are the management needs of research libraries that can best be met through the activities of the office?

These questions illustrate the issues with which the office is concerned. The nature of the activities that will satisfy those issues require that the office move in the future toward a substantial commitment in the areas of continuing education, management development, project coordination, and information exchange. This will require a greater service orientation rather than a studies orientation. It may also involve a new focus on cooperative management interests rather than on simply improving individual libraries. Above all, the intent of this office, is to emerge as an action agent for library management improvement.

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APPENDIX I: Program activities of the Office of University Library Management Studies

The first year of operation of the Office of University Library Management Studies focused on the completion of a major research project - the Study of Organization and Staffing of the Columbia University Libraries. The success of the office in reaching the initial objectives of operation are discussed in the first annual report. During the second year office activities expanded to encompass four basic programs: Research and Development, Publications and Dissemination of Information, Management Staff Development, and Visits, Consultation and Assistance to Individual Libraries and Groups of Libraries.

The appendix will briefly review major objectives and accomplishments in each of these areas.

1. OFFICE PROGRAM OF LIBRARY MANAGEMENT RESEARCH AND DEVELOPMENT

The program of research and development has been the heart of management office activities. This program produces the results that allow the subsequent efforts in publications, workshops, and consultation to operate. The objectives in this area are:

- to identify management problems commonly encountered by research libraries and provide assistance in solving them
- to conduct and promote research into the fundamental research library management issues
- to develop effective approaches and systems that can be used by research libraries to improve management

a. Management Review and Analysis Program

The major project of the office during this second year of operation was the design, preparation and testing of a Management Review and Analysis Program (MRAP). The idea behind this developmental effort was to capitalize on the Columbia Study both in terms of the methology of studying a research library organization and the management principles and concepts that were applied by the consulting firm. To do this, the Management Studies Office developed a self-study program that individual libraries can apply to their own management and operation. Through this process of analysis the self-study will lead to an identification of management improvements that will contribute to the programs of library services and collections.

The result of these efforts is the Management Review and Analysis Program. Libraries participating in this program receive a management manual from the Association that provides a framework for conducting the self-study. The manual will include:

1) suggestions for study team composition, 2) step-by-step procedures, 3) schedules of work activity, 4) analytic tables for use in probing the several management areas, and 5) a description of results expected. Completion of the entire effort will require a period of six months.

At key points during the study, training sessions are held at the ARL offices in Washington, D.C. They involve the chairman of the study team from each participating library. The intent of these sessions is to provide assistance to the library as it conducts the study. The training sessions try to answer the variety of questions that occur as the study progresses. These sessions are small discussion groups-not more than ten-that will meet with the director of the Management Studies Office for the purpose of exchanging information on difficulties encountered and progress made in the preceding month and of assisting in the preparation for the next month's scheduled work requirements.

Presently, the MRAP is being applied in three institutions (Iowa State, Purdue and Tennessee) as a means of testing this innovative program and determining any possible changes that are needed prior to making the program generally available.

b. The Study of Organization and Staffing of the Columbia University Libraries

The basic work on this project was completed in the first year, although, some additional effort on this project was required by the office. This included: meetings with Columbia's staff and advisory committee to revise and refine the recommendations, preparation of a summary report for immediate distribution, participation in discussions and conferences concerning the study, and keeping aware of the progress of the Columbia Libraries in the implementation of the study recommendations.

c. Office Plan for Development

A component of the Columbia Study was the requirement to prepare a program plan for the Office of Management Studies. This plan was prepared by the consulting firm with the assistance of the office director. It has provided the framework for the activities completed this year and activities envisioned over the next three years. A summary of this plan was distributed to the membership and made generally available.

d. Survey of Recruitment, Staff Development and Minority Employment Practices of Research Libraries

This survey was conducted as a means of determining present practices and problems of research libraries in areas of recruitment, staff development, and minority employment. It was designed as a telephone interview of the seventy-eight university members of ARL. Completed over a three month period, it produced an array

of information that will be used to develop a program response to the problems identified. Several immediate actions are envisioned: a study of performance appraisal as an aspect of staff development is planned, the office director has been named as liaison with the Staff Development Committee of the AALS, and a study of presently operated university library minority employment projects is being considered. A tabulation of affirmative action plans was compiled and a package of office publications was distributed to the several black colleges.

e. Cornell Planning Project

The office director participated in a limited fashion in a Cornell Library Project that is applying the American Management Association Long-Range Planning Program to a research library. Cornell expects the project to provide a means for dealing with difficulties of achieving an effective planning process in libraries.

f. Study of the Administration and Uses of Machine Readable Data Bases

This project was developed as a proposal to the National Science Foundation by the office. It's purpose was to identify and study present approaches to the organization, decision-making processes, policies and planning, staffing and financing of the specialized information services provided from computerized data bases. The office proposal was successfully merged with a NELINET proposal to establish a regional information center to utilize such services. This new project is now being reviewed by the NSF.

g. CLR Management Fellowship

The office, at the invitation of the CLR, is selecting a candidate for the CLR Fellowship and designing a project to propose for a CLR Management Fellowship. The intent of this project is to contribute to the fellowship objective of mid-career librarian development by securing individual staff from member libraries to work in the office on one of the research projects.

2. OFFICE PROGRAM OF MANAGEMENT PUBLICATIONS AND DISSEMINATION OF INFORMATION

The program of management publications and dissemination of information is intended to capitalize on the progress and developments recorded in the research programs, through publication of the results. Publications include reports of specific management projects, such as the Columbia Study, reviews of trends and developments in the several broad management areas, and the discussion of specific problems and issues. In addition, it is expected that the program will eventually go beyond preparing and distributing materials to providing comments on developments in the field of library management. The objectives aimed at in this area are:

- to secure and maintain an information file about contemporary management approaches

. to prepare and distribute materials that will provide information about desirable approaches and systems that can be used to improve management in large research libraries

The efforts of the office during this year concentrated on developing and distributing publications concerning office efforts. These included:

a. The Summary of the Study of the Organization and Staffing of the Columbia University Libraries which provides a brief review of the results of a case study research project aimed at investigating and applying contemporary management approaches in a research library setting was prepared and distributed.

b. Full Report of the Columbia Study was contracted to be published by Redgrave Information Resources, Inc. by March 1973.

c. Problems in University Library Management, a survey report which identifies library management problems and provides suggestions to approaches to their solution and sets priorities for action, was reprinted and translated into Japanese by Mr. Anzai.

d. Summary of the Plan for Development for the Office of University Library Management Studies which reviews the objectives and research interests of this office was produced and distributed.

e. Planning Aids for the University Library Director, the first of a series of Occasional Papers which focuses on the problems of securing a productive and continuing planning program in university libraries, was prepared and distributed.

f. Management Review and Analysis Program Manual which in a test draft format provides a framework for conducting an analytical self-study of library management was developed. A brochure describing the Management Analysis and Review program was also produced and distributed.

Several of these office publications were distributed to key library school professors as a means of ensuring that materials generated during the course of the office activities reach the library faculty that have an influence on the way library managers are taught. In addition, the same materials were sent to a small group of black colleges and universities. All office publications are offered for sale to interested parties. Most are placed in the ERIC/Clearinghouse system to ensure wider distribution.

3. OFFICE PROGRAM OF MANAGEMENT DEVELOPMENT

The objective of this program is to sponsor and participate in meetings where research library representatives can be introduced to and gain increased understanding of approaches and systems used to improve library management. While not a major emphasis at this point in the operation of the office, the office director has been involved in a number of workshops and conferences during this year as a means of disseminating information on some of the activities and accomplishments of the office. These have included:

a. ARL Membership Meetings

The office director organized, planned and participated in two program elements at the May 1972 Membership Meeting. One, on the Columbia Study, featured a discussion of the major issues addressed and recommendations made by Booz, Allen, and Hamilton Study Team. The other involved a presentation on the Management Review and Analysis Program, followed by a general discussion. This exchange produced a strong interest on the part of fifteen libraries to participate in the tests of the program.

b. Planning and Budget Officers

A workshop was sponsored by the Office in Washington to examine the Joint University Libraries program costing system developed with a grant from the Council on Library Resources. Nine officers attended. These individuals represented top library administrators charged with organizational responsibility for planning and translating long-range plans into short-term budgets.

In addition, the Office completed a survey of all member libraries concerning the use or projected use of such a position. The response to that questionnaire indicated a growing interest on the part of the directors with the issue here - Namely: The use of specialized management skills to ease the load of the library director and to better accomplish an effective library program. The immediate result of this survey will be to enlarge the small group of Planning/Budget Officers and to include these additional officers in the next meeting of the group which is planned for December at Cornell to look at their use of the AMA Planning Program.

c. Presentation to the Potomac Chapter of ASIS

The Office Director spoke to the Potomac Chapter of ASIS on the topic of Information Program Planning and Management Development. This discussion looked at the approaches to this topic proposed in the Columbia Study.

d. Presentation to the University Libraries Section of ACRL

The Office Director addressed a large group at the Annual Chicago Meeting on the topic of the management interests of the ARL. The intent of the presentation was to note the development of efforts on the part of research libraries to upgrade and attempt to innovate their management methods and systems.

e. MRAP Training Sessions

One of the purposes of these training sessions is to provide a developmental experience for the study team leader. As suggested earlier, this experience is tied to the motivating need to complete a self-study at the institution and thus to learn and apply the techniques presented.

4. OFFICE PROGRAM OF VISITS, CONSULTATION AND OTHER ASSISTANCE TO LIBRARIES

The objective of this program is to help solve the management needs and problems of individual libraries through direct contact, consultation, and advice. The hope here is that a two-way active exchange can be fostered that allows a degree of personalized assistance while receiving a stimulating view of the practical problems and requirements of library operation. A part of the effort in this area during the past year was the initiation of a series of on-site visits to member libraries. Twelve libraries were visited in this fashion. In addition, special visits intended to discuss and apply the MRAP were completed at three institutions.

An aspect of this program is the valuable assistance provided by the advisory groups working with the office efforts during this year. The ARL/ACE Joint Committee completed its work with the Columbia Study and the ARL Commission on Management agreed to work directly with the office to help develop and advise on major efforts of the office. During the year, the Commission has met monthly with the Office Director.